

12/15/00
JCSPTO

12-18-00

A
JC882 U.S. PTO
09/738618
12/15/00

Assistant Commissioner for Patents
Washington, DC 20231
ATTN: BOX UTILITY APPLICATION

Sheet 1 of 2

**UTILITY
PATENT APPLICATION
TRANSMITTAL**
Docket No.: 00-416
Date: December 15, 2000

U.S. Express Mail Label No.: EL744439510US

Inventor Name(s):
MARK A. HENNINGER AND PIERRE A. MULLER

Title:
COMPENSATORY RATIO HEDGING

Fee Transmittal Form Attached in Duplicate

Specification and Claim(s) [Total Pages 39]

Drawing(s) [Total Sheets 17]
INFORMAL

Declaration [Total Pages 1]

Newly Executed (Original or Copy)

Copy From Prior Application (37 CFR § 1.63(d))

Deletion of Inventor(s) (37 CFR § 1.63(d)(2))
(Signed Statement Attached)

Assignment Papers (Cover Sheet and Document(s))

37 CFR § 3.73(b) Statement (if applicable) Power of Attorney

English Translation Document (if applicable)

Information Disclosure Statement (IDS)/PTO-1449

Copies of IDS Citations

Preliminary Amendment

Return Receipt Postcard (Specifically Itemized)

Certified Copy of Priority Document(s)

Other

--Continue Next Page--

If a Continuing Application

Continuation Divisional Continuation-In-Part (CIP)

of prior Application No.: ;

Examiner : ; and

Group/Art Unit:

Cancel Claims:

For Continuations or Divisional Applications only: The entire disclosure of the prior application, from which an oath or declaration is supplied, as set forth above, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.

Correspondence Address:

Customer Number or Bar Code Label: 719

or

Correspondence address below:

Name:

Address:

City:

State:

Zip Code:

Country:

Attorney/Agent: Jeffrey L. Myers

Registration No.: 44,252

Signature: J. Myers

Caterpillar Inc.

Date: 12/15/2002

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$)

710

Complete if Known

Application Number	(Unassigned)
Filing Date	(Herewith)
First Named Inventor	MARK A. HENNINGER ET AL.
Examiner Name	(Unassigned)
Group / Art Unit	(Unassigned)
Attorney Docket No.	00-416

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **03-1129**

Deposit Account Name

 Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

2. Payment Enclosed:

 Check Money Order Other
FEE CALCULATION**1. BASIC FILING FEE**

Large Entity Small Entity

Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee Description	Fee Paid
101	690	201	345 Utility filing fee	710
106	310	206	155 Design filing fee	
107	480	207	240 Plant filing fee	
108	690	208	345 Reissue filing fee	
114	150	214	75 Provisional filing fee	

SUBTOTAL (1) (\$) **710****2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
20	-20* = 0	x 18	= 0
Independent Claims	3 - 3** = 0	x 80	= 0
Multiple Dependent			

** or number previously paid, if greater; For Reissues, see below

Large Entity Small Entity

Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee Description
103	18	203	9 Claims in excess of 20
102	78	202	39 Independent claims in excess of 3
104	260	204	130 Multiple dependent claim, if not paid
109	78	209	39 ** Reissue independent claims over original patent
110	18	210	9 ** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) **0****3. ADDITIONAL FEES**

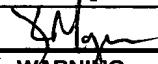
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130	205 Surcharge - late filing fee or oath	
127	50	227 Surcharge - late provisional filing fee or cover sheet.	
139	130	139 Non-English specification	
147	2,520	147 For filing a request for reexamination	
112	920*	112 920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840* Requesting publication of SIR after Examiner action	
115	110	215 Extension for reply within first month	
116	380	216 Extension for reply within second month	
117	870	217 Extension for reply within third month	
118	1,360	218 Extension for reply within fourth month	
128	1,850	228 Extension for reply within fifth month	
119	300	219 Notice of Appeal	
120	300	220 Filing a brief in support of an appeal	
121	260	221 Request for oral hearing	
138	1,510	138 Petition to institute a public use proceeding	
140	110	240 Petition to revive - unavoidable	
141	1,210	241 Petition to revive - unintentional	
142	1,210	242 Utility issue fee (or reissue)	
143	430	243 Design issue fee	
144	580	244 Plant issue fee	
122	130	122 Petitions to the Commissioner	
123	50	123 Petitions related to provisional applications	
126	240	126 Submission of Information Disclosure Stmt	
581	40	581 Recording each patent assignment per property (times number of properties)	
146	690	246 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	690	249 For each additional invention to be examined (37 CFR § 1.129(b))	

Other fee (specify) _____

Other fee (specify) _____

Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) **0****SUBMITTED BY**

Name (Print/Type)	Jeffrey L. Myers	Registration No. (Attorney/Agent)	44,252	Telephone	(309) 636-1843
Signature				Date	12/15/2000

WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.